

Please type a plus sign inside this box

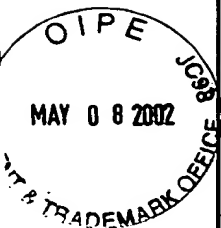


PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/577,835		
	Filing Date	May 25, 2000	
	First Named Inventor	Pai-Hung Pan	
	Group Art Unit	2811	
	Examiner Name	C. Nguyen	
Total Number of Pages in This Submission		Attorney Docket Number	M4065.0321/P321-A

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

RECEIVED
MAY -9 2002
TECHNOLOGY CENTER 2800

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP Thomas J. D'Amico
Signature	
Date	May 8, 2002

MAY 08 2002
 PATENT & TRADEMARK OFFICE
 JCS98

AMENDMENT TRANSMITTAL LETTER

Docket No.
 M4065.0321/P321-A

Application No.
 09/577,835

Filing Date
 May 25, 2000

Examiner
 C. Nguyen

Art Unit
 2811

Applicant(s): Pai-Hung Pan, et al.

Invention: PASSIVATION OF SIDEWALLS OF A WORD LINE STACK

TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is an amendment in the above-identified application.

The fee has been calculated and is transmitted as shown below.

CLAIMS AS AMENDED					
	Claims Remaining After Amendment	Highest Number Previously Paid	Number Extra Claims Present	Rate	
Total Claims	6	- 20 =		x	0.00
Independent Claims	1	- 3 =		x	0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					
Other fee (please specify):					
TOTAL ADDITIONAL FEE FOR THIS AMENDMENT:					

☒ Large Entity

☐ Small Entity

☐ No additional fee is required for this amendment.

☐ Please charge Deposit Account No. _____ in the amount of \$ _____.
 A duplicate copy of this sheet is enclosed.

☐ A check in the amount of \$ _____ to cover the filing fee is enclosed.

☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 04-1073
 as described below. A duplicate copy of this sheet is enclosed.

☒ Credit any overpayment.

☒ Charge any additional filing or application processing fees required under 37 CFR 1.16 and 1.17.

Thomas J. D'Amico
 Attorney Reg. No.: 28,371

Dated: May 8, 2002

DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP
 2101 L Street NW
 Washington, DC 20037-1526
 (202) 828-2232

RECEIVED
 MAY -9 2002
 TECHNOLOGY CENTER 2800



Docket No.: M4065.0321/P321-A
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#13/D
5/9/02
/S

In re Patent Application of:
Pai-Hung Pan, et al.

Confirmation No. 6233

Application No.: 09/577,835

Group Art Unit: 2811

Filed: May 25, 2000

Examiner: C. Nguyen

For: PASSIVATION OF SIDEWALLS OF A
WORD LINE STACK

AMENDMENT

Box Non-Fee Amendment
Commissioner for Patents
Washington, DC 20231

Dear Sir:

In response to the Office Action dated February 8, 2002 (Paper No. 11), please
amend the above-identified U.S. Patent application as follows:

IN THE CLAIMS

Please rewrite claim 25 as follows:

25. An integrated circuit comprising:
- a semiconductor substrate;
 - a gate dielectric film disposed on a surface of the substrate;
 - a gate electrode stack disposed on the gate dielectric film, wherein the stack includes

Sub
E1
①

RECEIVED
MAY -9 2002
TECHNOLOGY CENTER 2800